Overview of OCISS Federal Fund Programs Evaluated by the Desk Review Process

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Introduction

This overview report summarizes the results of 35[1] desk reviews of the Office of Curriculum, Instruction and Student Support (OCISS) Federal fund programs conducted by the System Planning and Improvement Section (SPIS) evaluators between January 2010 and December 2010. A partial overview report summarizing 20 desk reviews was presented to the Budget and Fiscal Accountability committee on October 14, 2010.

Like the partial overview report, this overview includes sections on the desk review timeline, the list of programs reviewed, descriptive statistics showing side-by-side comparisons between the OCISS General fund and Federal fund programs, and fiscal issues confronted by the evaluation team.

Desk Review Timeline

The following timeline shows the significant events involved in the implementation of the desk review model:

April 2009
- At its General Business Meeting on April 16, the Board approved a new five-year schedule and the implementation of the desk review process to screen programs and set priorities for in-depth evaluations
- Implemented pilot desk review process with eight OCISS General fund programs

May – October 2009
- Reviewed 88 OCISS General fund programs[2]

December 2009
- Met with Assistant Superintendent Daniel Hamada and OCISS directors to discuss our overview of OCISS General fund programs report
- Started the process of identifying OCISS Federal fund programs to be reviewed

January 2010
- Began desk reviews of OCISS Federal fund programs

March 2010[3]
- Presented Overview of OCISS General fund programs to BOE Budget and Fiscal Accountability Committee

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[1] Although 36 desk review reports were completed, the report for program ID 18905 (NCLB Title I LEA Grant – Indirect Costs) was not scored (see footnote 4). In addition, the following four NCLB Title I LEA Grant programs (18902 – Schools, 18907 – Restructuring, 18927 – School Improvement, and 52003 – Professional Development) were combined in one report because they all focused on the implementation of the State Framework for School Improvement and shared the same KPIs, monitoring procedures, etc.

[2] The 88 reviews were conducted by four evaluation specialists. By October 2009, there were only two evaluation specialists available to continue the program and fiscal evaluations.

[3] Between October 2009 and March 2010, three in-depth evaluations were also conducted by the evaluation team. These reports were presented in April 2010.

May 2010
- Completed nine OCISS Federal desk review reports

June 2010
- Revised completed desk review reports to address the following fiscal issues:
  - o FIFO/non-FIFO note explanation
  - o Fiscal table
    - Heading descriptors, disclaimer, formatting
  - o Tydings Amendment
  - o Forward-funded grants
- On June 23rd, the Office of Fiscal Services (OFS) conducted an in-service training on "Program Manager Tools" for approximately 60-70 Program Managers and staff
  - o Four out of the five issues included in the January 2010 Overview Report of OCISS General fund programs were covered

July 2010
- Completed 11 more OCISS Federal desk review reports (20 total, 19 more to go)
- Ran preliminary statistics on 20 desk review reports

August 2010
- Completed four more OCISS Federal desk review reports (24 total, 15 more to go)

September 2010
- Completed four more OCISS Federal desk review reports (28 total, 11 more to go)
- On September 10th, SPIS evaluators presented a poster at the Hawaii – Pacific Evaluation Association's 5th Annual Conference titled, "Evidence-Based Program and Fiscal Evaluation – the Desk Review Process

October 2010
- Completed four more OCISS Federal desk review reports (32 total, four more to go)

November 2010
- Completed two more OCISS Federal desk review reports (34 total, two more to go)

December 2010
- Completed two more OCISS Federal desk review reports (36 total)

Table 1 lists the OCISS Federal fund programs covered by this report.

Table 1: Programs Reviewed

#	Program ID	Program Description
1	13084	Middle School UPLINK – DHS FY09
2	13094	DHHS – HIV FY09
3	13095	DHHS – Youth Behavior Risk Survey FY09
4	13098	Advanced Placement Fee Payment Program FY09
5	15764	Voc Ed – Program Improvement
6	15765	Voc Ed – State Administration
7	15766	Voc Ed – State Leadership
8	16150	NCLB Math & Science Partnership
9	17040	Special Ed Pre-School Grant
10	17790	NCLB Migrant Education
11	17795	NCLB MEP Consortium Incentive Grant
12	17913	GEAR UP Program FY09
13	17929	Title VIB Special Education Project I
14	18050	NCLB 21st CCLC Formula
15	18052	NCLB Ed Tech
16	18056	NCLB Title III English Language Acquisition
17	18061	NCLB Supplemental School Improvement Grants
18	18066	NCLB Title III Emergency Immigrant
19	18470	NCLB Safe and Drug Free Schools
20	18605	NCLB Even Start Program
21	18902	NCLB Title I LEA Grant – Schools
22	18905	NCLB Title I LEA Grant – Indirect Costs[4]
23	18907	NCLB Title I LEA Grant – Restructuring
24	18927	NCLB Title I LEA Grant – School Improvement
25	18935	NCLB Title I LEA Grant – Parent Involvement
26	18936	NCLB Title I LEA Grant – Resource Teachers
27	18937	NCLB Title I LEA Grant – Private Schools
28	20642	NCLB Neglected & Delinquent – Olomana School
29	20645	NCLB Neglected & Delinquent – Dept of Public Safety
30	27487	R.C. Byrd Honors Scholarship FY09
31	46980	Adult Ed – Administration
32	46981	Adult Ed – Basic
33	46982	Adult Ed – Institutionalized Persons
34	46983	Adult Ed – State Leadership
35	46984	Adult Ed – EL/Civics
36	46985	Adult Ed – EL/Civics – Administration
37	46986	Adult Ed – Adult Secondary Ed
38	52002	NCLB Title I LEA – Transportation and Supplemental Education Services
39	52003	NCLB Title I LEA Grant – Professional Development

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[4] This program was not scored because it primarily serves to reimburse the Department for the indirect costs of administering the Title I, Part A program. As a result, multiple portions within the report were marked as "not applicable". Nevertheless, the information contained in the report seeks to provide a basic explanation of how indirect costs of the Title I program are processed.

While the total number of OCISS Federal funds programs for SY 2008-2009 was more than 80, the following reasons were used to exclude programs from being reviewed:
- Programs not listed in the FY10 database (i.e., the Program IDs were discontinued in FY 2009-2010)
- Programs that had Program Managers in offices other than OCISS
- Programs that were deferred due to:
  - Pending litigation
  - Program not implemented in FY09
  - Complexity of program made it unfeasible and not cost-effective given existing resources

Results

Figure 1 shows the distribution of scores amongst the five priority categories for the OCISS General and OCISS Federal funds.

Figure 1: Distribution of Priority Categories of Report Scores

20 19 18 17	16 15 14 13	12 11 10 9	8 7 6 5	4 3 2 1
5th Priority	4th Priority	3rd Priority	2nd Priority	1st Priority
OCISS General				
14% (n=12)	49% (n=42)	32% (n=27)	5% (n=4)	0% (n=0)
OCISS Federal				
34% (n=12)	43% (n=15)	23% (n=8)	0% (n=0)	0% (n=0)

Descriptive Statistics

Side-by-side comparisons that describe central tendencies are shown in Table 1 while Table 2 and Figure 2 display the frequency distribution of scores in table and chart formats.

Table 1: Total Scores

	OCISS General (N=85[5])	OCISS Federal (N=35)
Mean	**13.47**	**14.91**
Median	13.00	16.00
Mode	13	18
Standard Deviation	2.706	2.571
Minimum	7	10
Maximum	19	18

Table 2: Frequency Distribution of Desk Review Report Scores

	OCISS General		OCISS Federal	
Score	**Frequency**	**Percent**	**Frequency**	**Percent**
7	2	2.3	0	0
8	2	2.3	0	0
9	1	1.2	0	0
10	6	7.1	2	5.7
11	8	9.4	2	5.7
12	12	14.1	4	11.4
13	14	16.5	4	11.4
14	9	10.6	2	5.7
15	10	11.8	3	8.6
16	9	10.6	6	17.1
17	6	7.1	5	14.3
18	4	4.7	7	20.0
19	2	2.3	0	0
Total	**85**	**100.0**	**35**	**100.0**

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[5] Although 88 OCISS General fund programs were reviewed, 85 reports were produced because one program (Program ID 17203 – Autism Center) was never implemented and three A+ programs (Program IDs 45001, 45003, and 45004) were consolidated into one report.

Figure 2 provides a visual representation of the distribution of total scores (as percentages) across the score values from 7 through 20. While the distribution of scores for the OCISS General fund programs approximates a normal distribution curve, the distribution of scores for the OCISS Federal fund programs is negatively skewed towards the higher score values.
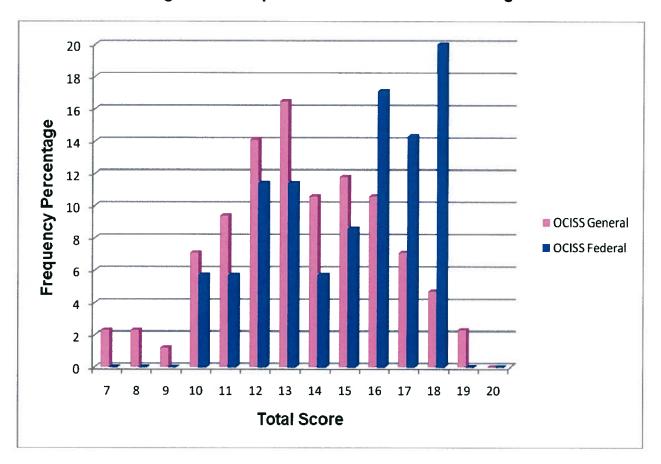
Figure 2: Comparison of Total Score Percentages

Outcomes

As expected and shown in Table 3, more OCISS Federal fund programs were based on some authority, which, for the purposes of the desk reviews, was defined as "state constitution, federal or state statute, regulation, or Board policy." While the percentage of programs in "alignment" (i.e., goals, objectives, and activities are aligned with the program's KPIs) remained consistent, the percentage should be much closer to 100%. The vast majority of Program Managers met their submittal deadlines and was cooperative in responding to follow up questions and requests for additional documentation from the evaluators.

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Table 3: Percentage of "Yes" Flags

Flags	OCISS General (N=85)	OCISS Federal (n=35)
Authority	49% (45)	89% (31)
Alignment	56% (55)	54% (19)
Met Deadline	90% (81)	91% (32)

Table 4: Mean Indicator Scores

Indicators	Max. Points	OCISS General Mean Score	OCISS Federal Mean Score
1. Data Performance	5	3.7	3.7
2. Budget Efficiency	3	2.5	2.7
3. Internal and External Monitoring	4	2.9	3.3
4. Continuous Improvement	4	2.0	2.9
5. Effectiveness	4	2.4	2.3
TOTAL	20	13.5	14.9

While the mean scores of three out of the five indicators remained consistent, the higher mean scores in the "Internal and External Monitoring" and "Continuous Improvement" indicators were statistically significant at the $P<.05$ level.

Table 5 shows the OCISS Federal fund programs that received a score of "0" for any indicator.

Table 5: Programs Receiving No Points for One or More Indicators

Program ID	Program	Data Performance	Budget Efficiency	Monitoring	Continuous Improvement	Effectiveness	Total Scores
18050	NCLB 21st Century Community LC Formula	4	2	3	0	2	11
18052	NCLB Ed Tech	4	3	4	0	3	14
27487	R.C. Byrd Honors Scholarship FY09	3	3	1	0	3	10
46983	Adult Ed – State Leadership	5	1	4	0	2	12
46985	Adult Ed – EL/Civics – Administration	4	2	4	0	2	12
46986	Adult Ed – Institutionalized Persons	4	2	4	0	2	12

As was the case with the OCISS General fund programs, most, if not all, of the "0" point scores fell under the *Continuous Improvement* indicator.

Table 6: Number of Times an Indicator Received No Points

OCISS Programs	Data Performance	Budget Efficiency	Monitoring	Continuous Improvement	Effectiveness	Total "0" Scores	Number of Programs Involved
OCISS General fund	2	0	3	23	1	29*	25
OCISS Federal fund	0	0	0	6	0	6	6
Total	2	0	3	29	1	35*	31

*Four of the OCISS General fund programs received "0" points for two indicators.

Fiscal Issues

We found that the most significant and challenging aspect of the desk reviews of the OCISS Federal fund programs were the fiscal issues we encountered. These issues include, but are not limited to, the following:

- **Forward-funding**
  - o Although the federal fiscal year is from October 1 through September 30, "forward funded" grants start on July 1 which provides for a 15 month time-frame to obligate and expend funds.

- **Tydings Amendment**
  - o Congress adopted the "Tydings Amendment" §421(b) of the General Education Provisions Act (20 U.S.C. §1225(b)). This amendment provides education agencies additional time to spend the Federal funds they receive. Grants that list the "Tydings Amendment" under the *Terms and Conditions* of the Grant Award Notification document allows any funds not obligated and expended during the initial award period to be carried over into the next fiscal year. The carryover funds can then be obligated and expended for an additional 12-month period, making funding for this grant available to the Department for a total of 27 months.

- **FIFO/Non-FIFO**
  - o FIFO grants are federal grants that the Department accounts for on a "First-In-First-Out" (FIFO) basis so that costs are charged to the oldest grant balances first. Generally, large recurring formula grants, such as Title I, are given the FIFO designation. In this method, only one Program ID is used for all years of the FIFO grant. Examples of FIFO programs include, but are not limited to, NCLB, Adult Ed, Title VIB Special Education.

  - o Non-FIFO grants are generally federal grants for which the Department establishes separate Program IDs for every specific grant (and year) received, generally for discretionary grants. These types of grants can recur but tend to be for smaller amounts. Before the FIFO designation was instituted several years ago, there were no such designations of FIFO or non-FIFO. All federal grants consisted of separate Program IDs for every year within each grant. Examples of these programs include, but are not limited to, GEAR UP Program, Middle School UPLINK – DHS, as well as those with DOD, DHHS, Impact Aid, ARRA, in their program description titles.[6]

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[6] The Vocational Education programs were designated as FIFO from FY 2004-2005 to FY 2009-2010, but

These fiscal issues have had a significant impact on the:
- Tracking of program allocations, expenditures, balances, and carryover;
- Time it took for evaluators to research and have a working understanding of them; and
- Amount of revisions needed to be made to the desk review reports and fiscal tables.

Although the evaluators did not ask Program Managers about what challenges, if any, these fiscal issues had on their ability to perform their duties and responsibilities, this would be one area for potential follow up.

General Observations

1. In general, OCISS Federal fund programs scored better than OCISS General fund programs because they are subjected to more evaluation and reporting requirements.
   a. This is what we were expecting to find but needed to go through the process to validate
   b. Evaluating the OCISS Federal programs using the desk review process showed that there is still room for improvement in many areas in how Program Managers manage their programs:
      i. How programs are implemented
      ii. Record keeping and documentation
      iii. Verification of data
      iv. Tracking of expenditures
      v. Developing improvement plans
      vi. Taking follow up action on improvement plans
      vii. Identification of appropriate KPIs
      viii. Program alignment (goals, objectives, activities, KPIs)

2. It is interesting to note that not all OCISS Federal fund programs are reviewed by the Annual Financial & Single Audit reports. According to Denise Yoshida, Internal Auditor, "a Schedule of Federal Awards is prepared for the Annual Single Audit by the Accounting Section. From this list, the external auditors select a sample of federal programs to test (based on criteria from the OMB Circular A-133), which is representative of the total population of federally funded programs." We went through the Annual Single Audits from FY02 through FY09 and noted, in the following table, the OCISS Federal fund programs that were reviewed:

changed to non-FIFO during FY 2009-2010.

CFDA[7] #	Program	FY02	FY03	FY04	FY05	FY06	FY07	FY08	FY09
84.002	Adult Education	X	X			X	X	X	
84.010	Title I – Grants to LEAs		X			X	X	X	X
84.011	Migrant Education					X	X		
84.027	SPED – Grants to States	X	X	X			X	X	X
84.041	Impact Aid	X		X	X	X		X	X
84.048	Career and Technical Education					X	X	X	
84.173	SPED – Preschool Grants	X	X	X			X		X
84.186	Safe and Drug-Free School and Communities - State Grants	X	X						X
84.213	Even Start					X	X		
84.282	Public Charter Schools	X		X					
84.287	21st Century Community Learning Centers	X	X			X	X	X	X
84.298	State Grants for Innovative Programs				X				
84.318	Education Technology State Grants				X				
84.338	Reading Excellence Act	X	X						
84.340	Class-Size Reduction								X
84.352	School Renovation Grants			X					
84.357	Reading First State Grants				X				
84.362	Native Hawaiian Education					X	X	X	
84.367	Improving Teacher Quality State Grants				X			X	X
84.369	Grants for State Assessments					X	X	X	
84.389	Title I – Grants to LEAs, Recovery Act								X
84.391	SPED – Grants to States, Recovery Act								X

3. KPIs need to be strengthened to include baseline, direction, and target.

4. There was considerable variation in the degree to which Program Managers provide program oversight which suggests a need to clarify Program Manager responsibilities and examine the level of support available in the following areas:
   - Monitoring (program and fiscal)
   - Improvement plans and follow up action
   - Record keeping
   - Accessibility to data (program and fiscal)
   - Line vs. staff authority

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[7] The Catalog of Federal Domestic Assistance (CFDA) is a government-wide compendium of Federal programs, projects, services, and activities that provide assistance or benefits to the American public. Each program is assigned a unique number by agency and program that follows the program throughout the assistance lifecycle, enabling data and funding transparency. The complete CFDA number is a five digit number, XX.XXX, where the first two digits represent the Funding Agency and the second three digits represent the program.

5. Title I programs scored well.
    a. Good internal processes
        i. Contact with schools
        ii. Documentation
        iii. Plans
        iv. Improvement
        v. Support
        vi. Reporting

    b. Title I programs did not have any "0" scores for any indicator, with "Continuous Improvement" scores averaging 4.0 and a total score average of 17.0.

    c. We added the following statement in each Title I report to suggest a possible program improvement:

    "Although the overarching purpose of this and all other Title I, Part A programs is to improve student achievement, selecting KPIs and objectives that are more specific to the program's rationale for allocation (i.e., resource teachers) may be more beneficial for the purpose of program evaluation."

6. Except for Title I, the additional external evaluation and monitoring of OCISS Federal programs often required by the Federal government doesn't necessarily translate into high desk review scores. A lot depends on the Program Manager and how well and how closely they monitor their program.

7. A meeting was held with Assistant Superintendent Joyce Bellino and her directors on February 2, 2011 to share this overview and discuss the desk reviews of the OCISS Federal fund programs.